

Naval Inspector General



Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



Phase 3: Conduct the Investigation Interviewing

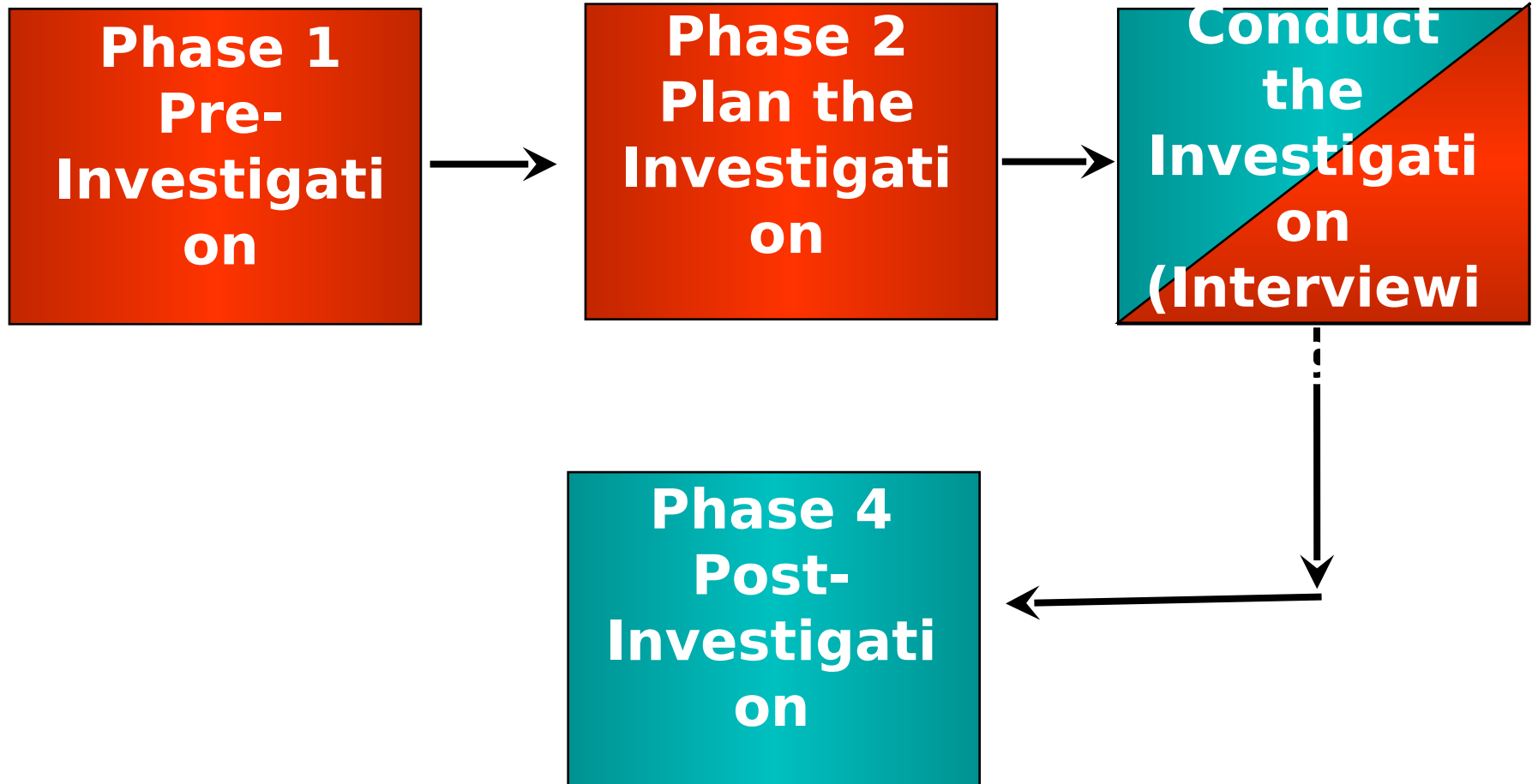
Enabling Learning Objectives

- Explain how to use an interview plan to conduct an interview
- Explain the sensitivity and privacy issues related to interviewing
- Describe and apply the 5 phases of an interview
- Describe common interviewing problems and ways to avoid them



Phase 3: Conduct the Investigation

Complaint Resolution Procedure





Phase 3: Conduct the Investigation

Complaint Resolution Procedure

Phase 1: Pre-Investigation

Receive the Complaint
Analyze the Complaint
Draft the Allegation(s)
Determine the Action
Notify the Complainant

Phase 2: Plan the Investigation

Assign the IO
Mentor the IO
Prepare & Maintain the Plan

Phase 3: Conduct the Investigation

Gather Information
Interviewing
Write the Report

Phase 4: Post-Investigation

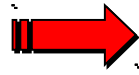
Conduct Quality Review of the Report
Notify Complainant & Subject
Prepare the Case File for Closing



Phase 3: Conduct the Investigation

Complaint Resolution Procedure

Phase 3:
Conduct the
Investigation
(Interviewing)



Interviewing Goals

Interview Plan

Sensitivity and Privacy

Five Interview Phases

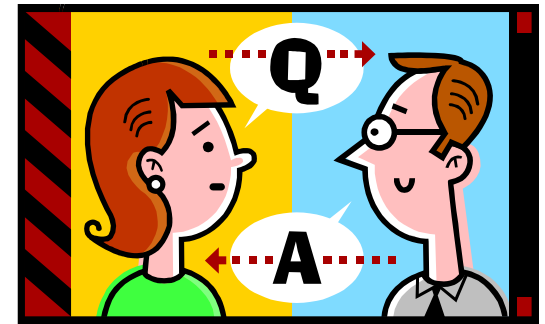
Common Problems



Interviewing Goals

Interviewing Goals

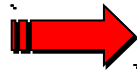
- Establish rapport
- Emphasize that you seek only the truth
- Listen attentively
- Evaluate the interviewee's responses to questions carefully
- Take good notes
- Remain objective and unemotional





Phase 3: Conduct the Investigation

Complaint Resolution Procedure



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Common Problems



Interview Plan Fact Finding

- **Interview Plan Lists**
 - Interviewees
 - Order of the interviews (include time)
 - Category of interviewees (complainant, witness, subject)
 - Allegations that pertain to each interviewee
 - Questions you intend to ask





Interview Plan Fact Finding (cont.)

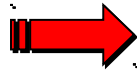
Interview Plan

- Type of Interview
- Physical and Psychological Factors
- Questioning Techniques
- Topic Outline
- Number of Interviewers
- Recording
- Rights and Responsibilities



Phase 3: Conduct the Investigation

Complaint Resolution Procedure



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Common Problems



Sensitive and Privacy

Sensitivity and Privacy

- Inquire discreetly
- Gather documents from complainant or subject **1st** if they prove / disprove allegations
- Gather documents pertaining to **various** command personnel
- Explain Privacy Act rights





Phase 3: Conduct the Investigation

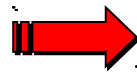
Complaint Resolution Procedure



Interviewing Goals

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Five Interview Phases

Common Problems



Five Interview Phases





Five Interview Phases

Five Interview Phases

- Phase 1: Introduction
- Phase 2: Build Rapport
- Phase 3: Questioning
- Phase 4: Summarize
- Phase 5: Close



Five Interview Phases

Introduction

- Introduce yourself
- Identify the office you represent
- Produce credentials or tasking / appointing letter
- Confirm interviewee is the right person



Five Interview Phases

Introduction (cont.)

- Explain the purpose of the interview
- Explain what to expect during the interview
- Explain and execute a Privacy Act statement



Five Interview Phases

Build Rapport (cont.)

- Greet the interviewee with a handshake



- Use voice inflection, gestures, and facial expressions to set the tone
- Use neutral terms - no editorial comments



Five Interview Phases

Build Rapport (cont.)

- Use non-threatening mannerisms and body language
- Express empathy or sympathy, when appropriate
- Treat interviewees with dignity and respect





Five Interview Phases Questioning

- Free-narrative or open-ended questions
- Direct examination or direct questions
- Cross-examination questions





Five Interview Phases

Questioning (cont.)

- **Receive the answer**
 - Listen carefully
 - Keep an open mind
 - Paraphrase responses
 - Concentrate on what the interviewee is saying
 - Maintain control of the interview



Five Interview Phases

Questioning (cont.)

- **Receive the answer**
 - Summarize key points
 - Listen with minimal interruptions
 - Use silence to force a response
 - Keep your talking to a minimum
 - Use gestures and eye contact to encourage responses
 - React to disclosures appropriately



Five Interview Phases

Questioning (cont.)

- **Evaluate the Answer**
 - Test the accuracy of information
 - Keep the interviewee focused
 - Fill in missing details with direct questions
 - Use cross-examination questions
 - Re-interview the subject (if necessary)



Five Interview Phases

Questioning (cont.)

Record the answer

- Method of interview
- Names of attendees
- Purpose, place, date, time, phone numbers
- Take detailed, factual, objective, concise, clear, and complete notes
- Include questions and responses in tape-recorded interviews





Five Interview Phases

Questioning (cont.)

- **Record the answer**
 - Review notes during interview
 - Retain notes / tapes until case is closed
 - Use quotation marks with interviewee's quote
 - Ask interviewee to initial the quote when you conclude the interview





Five Interview Phases

Questioning (cont.)

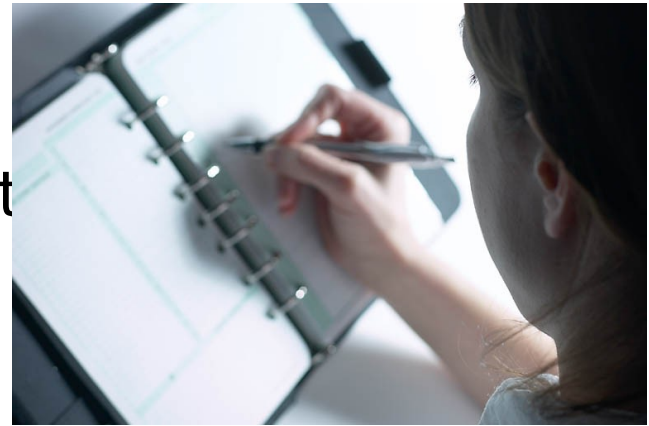
- **Four methods of recording an interview**
 - Sworn Statement or Declaration
 - Verbatim or tape recording
 - Results of Interview (Record of Interview)
 - Video Teleconference Interviews



Five Interview Phases

Summarize

- Summarize the salient parts of the interview
- Review notes with interviewee to
 - Clarify or add information
 - Allow second investigator to ask questions
 - Ensure all information is accurate





Five Interview Phases Close

- Ask the **complainant** what he / she expects from the investigation
- Ask **interviewees** if you should interview anyone else and why
- Thank **interviewees** for cooperating
- Advise **interviewees** regarding whistleblower protection



Five Interview Phases Close (cont.)

- Give **interviewee** your contact information
- Explain that **interviewees** have no inherent right to know the outcome
- Advise **interviewees** about requesting IR under the Freedom of Information Act



Five Interview Phases

Outbrief Management

- Notify senior management that you have completed interviews and/or the investigation
- Use the template to outbrief management officials



Phase 3: Conduct the Investigation Complaint Resolution Procedure



Interviewing Goals

Interview Plan

Sensitivity and Privacy

Five Interview Phases



Common Problems



Common Problems

1. Uncooperative commands
2. Refusal to comply
3. Intimidation
4. Requests for other attendees at an interview
5. Losing impartiality
6. Reprisal
7. Requests for advice from interviewees



Anything else?

The key to successful interviewing is to create an interview plan and to rehearse your questions.



Phase 3: Conduct the Investigation

Complaint Resolution Procedure

**Conduct the Investigation
(Interviewing)**
Completed!!

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Common Problems



Phase 3: Conduct the Investigation Complaint Resolution Procedure

Questions??